



Date of Trust Board: 25th September 2013

ENCLOSURE NUMBER: 13

SUMMARY OF REPORT TO TRUST BOARD

NAME OF DIRECTOR:	Lindsey Webb Director of Nursing and Governance
AUTHOR:	Lisa Pim Interim Deputy Director of Nursing and Governance
SUBJECT:	Board Assurance Framework Risks 2013/14

SUMMARY

The attached report gives details the one Board Assurance Framework Risk managed via Trust Board. It has recently been updated and transferred to the electronic risk register database ('Ulysses Risk Register').

IMPLICATIONS

Scrutiny and challenge of BAF risks is essential to ensure that any risks are identified and managed.

RECOMMENDATIONS

The Board is asked to:

- **Note** the attached risk paying particular attention to the current risk score and progress with planned additional assurances (actions plan) associated with this risk
- **Identify** any additional risks for inclusion onto the BAF/ CRR

Single Risk Details

Risk Number & Version			
Risk Number & Version:	11 Ver 1	Risk Level:	2. BAF Principal Risk

Risk Details			
Opened:	/ /		
Status:	Static	Strategic Objective:	2.3 Manage People To Enable To
Risk Type:		Source Of Risk:	
Team/Project:		Risk Category:	
Directorate:		Risk Owner:	Bryan Jackson
Monitoring Committee:		Operational Lead:	Joy Street

Details of the Risk	
Risk Description:	Executive Director Continuity and Corporate Memory
Causes:	Executive Director Continuity and Corporate Memory. Old ref: 155
Consequences:	3.0

Initial Risk Rating

Likelihood	Consequence				
	1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
5 Catastrophic	Score : 5	Score : 10	Score : 15	Score : 20	Score : 25
4 Major	Score : 4	Score : 8	Score : 12	Score : 16	Score : 20
3 Moderate	Score : 3	Score : 6	Score : 9	Score : 12	Score : 15
2 Minor	Score : 2	Score : 4	Score : 6	Score : 8	Score : 10
1 Insignificant	Score : 1	Score : 2	Score : 3	Score : 4	Score : 5

Initial Risk Rating:	High (Red)
Initial Risk Score:	16

Current Controls & Assurances

Control Details:	Board turnover very high from November 2012 to October 2013. Regularly reviewed by Board and mitigated by prompt recruitment, appropriate and timely interim arrangements and effective handovers
Adequacy of Controls:	Adequate
Independent Assurance:	Regular review by remuneration committee of board Review of risk at each board meeting

Single Risk Details

Current Risk Rating

Likelihood	Consequence				
	1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
5 Catastrophic	Score : 5	Score : 10	Score : 15	Score : 20	Score : 25
4 Major	Score : 4	Score : 8	Score : 12	Score : 16	Score : 20
3 Moderate	Score : 3	Score : 6	Score : 9	Score : 12	Score : 15
2 Minor	Score : 2	Score : 4	Score : 6	Score : 8	Score : 10
1 Insignificant	Score : 1	Score : 2	Score : 3	Score : 4	Score : 5

Current Risk Rating:	Moderate (Orange)
Current Risk Score:	12

Additional Controls & Assurances

Priority:	
Action Lead:	Joy Street
Person Accountable:	
Action Details:	
Progress:	
Outcome:	Closed
Completion Date:	20/09/2013

Priority:		Start Date:	16/09/2013
Action Lead:	Bryan Jackson	Target Date:	25/09/2013
Person Accountable:	Joy Street	Reminder Date:	22/09/2013

Action Details:	
Appointment of new CEO september 2013 - start dat early 2014 Interim Director of Nursing appointed end September 13 NED continuity for two ends of term being recommended to governors	
Progress:	

Target Risk Rating

Likelihood	Consequence				
	1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
5 Catastrophic	Score : 5	Score : 10	Score : 15	Score : 20	Score : 25
4 Major	Score : 4	Score : 8	Score : 12	Score : 16	Score : 20
3 Moderate	Score : 3	Score : 6	Score : 9	Score : 12	Score : 15
2 Minor	Score : 2	Score : 4	Score : 6	Score : 8	Score : 10
1 Insignificant	Score : 1	Score : 2	Score : 3	Score : 4	Score : 5

Target Risk Rating:	Low (Yellow)
Target Risk Score:	4

Single Risk Details

Notifications

Date:	Notification Group:	Notified Staff Member:	Info Only:
16/09/2013	Additonal Notification	Joy Street	N